

OFFICE OF THE CHIEF OF POLICE

SPECIAL ORDER NO. 47

November 13, 2003

**SUBJECT: PERFORMANCE EVALUATION PROCEDURES FOR LIEUTENANTS AND BELOW - REVISED**

**PURPOSE:** The Department has revised the Performance Evaluation Report, Form 1.78.0, to include several new assessment categories and a section for supervisors to document the training needs of an employee. The revised form shall now be used to evaluate sworn employees at the rank of lieutenant and below. This Order revises and renames both the Performance Evaluation Report and the Performance Evaluation Report Guidelines for Supervisors, Form 1.78.2, to reflect the changes.

***Note:** The new criteria and guidelines become effective immediately, and shall be used for the first time for sergeant's ratings for the performance period ending December 31, 2003. Henceforth, the new forms shall be used for all lieutenants and below.*

**PROCEDURE:**

**I. PERFORMANCE EVALUATION REPORT, FORM 1.78.0 - REVISED.** The Performance Evaluation Report, Form 1.78.0, has been renamed the Performance Evaluation Report - Lieutenants and Below.

**A. Use of Form.** This form is used to report the performance evaluation of lieutenants and below, as well as probationary or temporary-emergency civilian employees (3/760.20, 3/760.40, 3/760.60).

**B. Completion.** Supervisors shall utilize the Performance Evaluation Report Guidelines for Rating Lieutenants and Below, Form 1.78.2, to complete this form.

**C. Distribution.** The distribution for the Performance Evaluation Report is as follows:

- 1 - Original, Personnel Division (Records)
- 1 - Copy, employee's divisional file
- 1 - Copy, employee

**3 - TOTAL**

D. **Completion - Specific.** The form has been revised to reflect the following corresponding changes:

1. **Duty Performance** - A "Demonstrates Integrity" field has been added;
- 2a. **Leadership Capabilities** - The "Demonstration of Loyalty" field has been deleted;
- 2b. **Leadership Capabilities (Supervisory Personnel Only)** - The following fields have been added:
  - \* Sets Example of Police Integrity;
  - \* Effectiveness of Delegation;
  - \* Fosters a Positive Workplace Environment;
  - \* Effective Administrative Investigations; and,
  - \* Effective Supervisory Oversight.
3. **EVALUATION OF SPECIALIZED SKILLS RELATED TO ASSIGNMENT.** This section has been added to provide details on training provided to an employee. A supervisor shall document any training received, particularly that which may be required for that particular assignment (e.g., Field Training Officer, vice, etc.). The supervisor shall also evaluate the employee's application of any specialized training received.

II. **PERFORMANCE EVALUATION REPORT GUIDELINES FOR SUPERVISORS, FORM 1.78.2 - REVISED.** The Performance Evaluation Report Guidelines for Supervisors, 1.78.2, has been renamed the Performance Evaluation Report Guidelines for Rating Lieutenants and Below (Guidelines). Additionally, the Guidelines have been significantly revised, and all raters shall review the changes prior to rating subordinates.

Raters are reminded that questions listed for each sub-factor category are examples and intended as guidelines only. The following sub-factors require mandatory responses, and shall be addressed and documented in the Narrative Evaluation portion of the form:

- \* Demonstrates Integrity;
- \* Quality of Public Contacts, to include any community policing efforts;

*(Supervisory employees only)*

- \* Set Example of Police (and Civil Rights) Integrity;
- \* Evaluation of Subordinates, to include:
  - \* Appropriate and effective use of Department performance evaluation procedures to potentially address at-risk behavior; and,
  - \* Appropriate and effective use of Department documentation, e.g., TEAMS reports, sustained personnel complaint histories, personal observations, etc., to evaluate employees.
- \* Conducting effective administrative investigations;
- \* Providing effective supervisory oversight of an employee's work product (e.g., arrest reports, search warrants, confidential informant files, if applicable) and at required incidents; and,
- \* Fostering a positive work environment, to include any steps taken to prevent retaliation.

**FORM AVAILABILITY:** The Performance Evaluation Report - Lieutenants and Below, Form 1.78.0, and the Performance Evaluation Report Guidelines for Rating Lieutenants and Below, Form 1.78.2, will be available for ordering from the Department of General Services, Distribution Center, in about 90 days and will be updated on the Department's Local Area Network (LAN). The old versions shall be marked obsolete and placed in the divisional recycling bin. A copy of the form is attached for duplication and immediate use.

**AMENDMENTS:** This Order amends Sections 3/660.30, 3/760.20, 5/1.78.0 and 5/1.78.2 of the Department Manual.

**AUDIT RESPONSIBILITY:** The Commanding Officer, Personnel Division, shall monitor compliance with this directive in accordance with Department Manual Section 0/080.30.

**WILLIAM J. BRATTON**  
Chief of Police

**Distribution "A"**

Attachments

Los Angeles Police Department  
**PERFORMANCE EVALUATION REPORT -**  
**Lieutenants and Below**

NOTE: Supervisors completing this report shall refer to the Performance Evaluation Report Guidelines for Rating Lieutenants and Below, Form 1.78.2.

☐ ANNUAL
 ☐ PROBATION/PROMOTION
 ☐ TRANSFER
 ☐ SPECIAL
 ☐ SEPARATION

|  |          |                            |                |       |                           |                               |
|--|----------|----------------------------|----------------|-------|---------------------------|-------------------------------|
| NAME (LAST, FIRST, MIDDLE)   |          | SERIAL NO.                 | CLASSIFICATION | GRADE | DIVISION, AREA OR BUREAU  |                               |
| DUTY ASSIGNMENT (e.g., senior desk)  | JOB CODE | Period Covered<br>(Months) | From:          | To:   | PROFICIENT<br>PERFORMANCE | UNSATISFACTORY<br>PERFORMANCE |
| <b>CHECK-BOX EVALUATION SECTION</b> (Sections 1 and 2) The below categories of employee performance consist of various sub-factors (e.g., "Initiative"). The employee should be evaluated in each of these sub-factors as follows:<br><br><div style="display: flex; justify-content: space-around; align-items: flex-start;"> <div>Strong <input checked="" type="checkbox"/></div> <div>Competent <input type="checkbox"/></div> <div>Needs Improvement <input type="checkbox"/></div> <div>Strike through sub-factors not observed; e.g., <del>Planning Skills</del></div> </div> <p>In making the evaluation of each category listed below, supervisors are to evaluate the employee's performance only in the assignments during the preceding year, and compare that performance to that of other employees in the same class and in similar assignments.</p>  |          |                            |                |       |                           |                               |
| <b>1. DUTY PERFORMANCE (ALL EMPLOYEES)</b><br><br><div style="display: flex; flex-wrap: wrap;"> <div style="width: 33%;"><input type="checkbox"/> DEMONSTRATES INTEGRITY</div> <div style="width: 33%;"><input type="checkbox"/> INITIATIVE</div> <div style="width: 33%;"><input type="checkbox"/> TEAMWORK</div> <div style="width: 33%;"><input type="checkbox"/> RESPONSIVENESS TO INSTRUCTION</div> <div style="width: 33%;"><input type="checkbox"/> PHYSICAL FITNESS</div> <div style="width: 33%;"><input type="checkbox"/> PERFORMANCE UNDER STRESS</div> <div style="width: 33%;"><input type="checkbox"/> WORK QUALITY</div> <div style="width: 33%;"><input type="checkbox"/> ABILITY TO ORGANIZE</div> <div style="width: 33%;"><input type="checkbox"/> JUDGMENT AND COMMON SENSE</div> <div style="width: 33%;"><input type="checkbox"/> USE OF AVAILABLE RESOURCES</div> <div style="width: 33%;"><input type="checkbox"/> RELIABILITY</div> <div style="width: 33%;"><input type="checkbox"/> PRODUCTIVITY</div> <div style="width: 33%;"><input type="checkbox"/> CARE AND USE OF EQUIPMENT</div> <div style="width: 33%;"><input type="checkbox"/> QUALITY OF PUBLIC CONTACTS</div> <div style="width: 33%;"><input type="checkbox"/> THOROUGHNESS</div> <div style="width: 33%;"><input type="checkbox"/> SAFETY SKILLS</div> <div style="width: 33%;"><input type="checkbox"/> COMMUNICATION SKILLS</div> <div style="width: 33%;"><input type="checkbox"/> DRESS AND GROOMING</div> </div> |          |                            |                |       | <input type="checkbox"/>  | <input type="checkbox"/>      |
| <b>2A. LEADERSHIP CAPABILITIES (ALL EMPLOYEES)</b><br><br><div style="display: flex; flex-wrap: wrap;"> <div style="width: 33%;"><input type="checkbox"/> ADAPTABILITY</div> <div style="width: 33%;"><input type="checkbox"/> EFFECT ON MORALE</div> <div style="width: 33%;"><input type="checkbox"/> ACCEPTANCE OF RESPONSIBILITY</div> <div style="width: 33%;"><input type="checkbox"/> PLANNING SKILLS</div> <div style="width: 33%;"><input type="checkbox"/> CONTACTS WITH SUBORDINATES</div> <div style="width: 33%;"><input type="checkbox"/> DEMONSTRATION OF COMMAND PRESENCE</div> </div>   |          |                            |                |       | <input type="checkbox"/>  | <input type="checkbox"/>      |
| <b>2B. LEADERSHIP CAPABILITIES (SUPERVISORY PERSONNEL ONLY)</b><br><br><div style="display: flex; flex-wrap: wrap;"> <div style="width: 33%;"><input type="checkbox"/> SETS EXAMPLE OF POLICE INTEGRITY</div> <div style="width: 33%;"><input type="checkbox"/> EFFECTIVENESS OF DELEGATION</div> <div style="width: 33%;"><input type="checkbox"/> TRAINING OF SUBORDINATES</div> <div style="width: 33%;"><input type="checkbox"/> EVALUATION OF SUBORDINATES</div> <div style="width: 33%;"><input type="checkbox"/> EFFECTIVE ADMINISTRATIVE INVESTIGATIONS</div> <div style="width: 33%;"><input type="checkbox"/> EFFECTIVE SUPERVISORY OVERSIGHT</div> <div style="width: 33%;"><input type="checkbox"/> FOSTERS A POSITIVE WORKPLACE ENVIRONMENT</div> </div>  |          |                            |                |       | <input type="checkbox"/>  | <input type="checkbox"/>      |
| <b>3. EVALUATION OF SPECIALIZED SKILLS RELATED TO ASSIGNMENT</b>   |          |                            |                |       |                           |                               |
| <b>4. NARRATIVE EVALUATION.</b> This section is to be used to record specific and personal characteristics of this employee, which are not adequately covered in the check-box section above, including any incident or circumstance causing a "Needs Improvement" in any of the sub-factors in Section 1 or 2. Use continuation sheet for additional narrative.   |          |                            |                |       |                           |                               |
| How can this employee best improve his/her performance?  |          |                            |                |       |                           |                               |

**5. OVERALL VALUE OF THIS EMPLOYEE.** This overall evaluation is to be based on the following factors:

1. The employee's value in his/her present assignment and performance therein during the evaluation period; AND,
2. Consideration of the general needs of the Department, comparing the capabilities and characteristics of this employee to all other employees of equal class and paygrade known to the evaluator.

☐ **PROFICIENT**

☐ **UNSATISFACTORY**

☐ Recommend for non-certification to withhold or remove merit pay

**6. Indicate the number of each of the following items involving this employee during the rating period:**

\_\_\_\_\_ Favorable incident reports      \_\_\_\_\_ Commendations (Explain briefly)      \_\_\_\_\_ Preventable traffic collisions      \_\_\_\_\_ Disciplinary action other than T/C (Explain briefly)

**7. PROBATIONARY EMPLOYEES ONLY.** List and explain consecutive days off in excess of seven days for S/L, IOD, M/L, SUSP, AWOL, ABSENT during this evaluation period (include dates).

**RECOMMENDATION:**

☐ **FURTHER OBSERVATION**

☐ **PERMANENT STATUS**

☐ **TERMINATION**

**8. EVALUATING SUPERVISOR** (Immediate supervisor)

☐ **EMPLOYEE'S TEAMS REPORT REVIEWED**

Signature\_\_\_\_\_ Rank & Title\_\_\_\_\_ Date\_\_\_\_\_

**9. GROUP EVALUATING SUPERVISORS**

Signature\_\_\_\_\_ Rank & Title\_\_\_\_\_ Date\_\_\_\_\_

Signature\_\_\_\_\_ Rank & Title\_\_\_\_\_ Date\_\_\_\_\_

Signature\_\_\_\_\_ Rank & Title\_\_\_\_\_ Date\_\_\_\_\_

Signature\_\_\_\_\_ Rank & Title\_\_\_\_\_ Date\_\_\_\_\_

**10. REVIEWING SUPERVISOR**

Signature\_\_\_\_\_ Rank & Title\_\_\_\_\_ Date\_\_\_\_\_

**11. APPROVING COMMANDING OFFICER**

Signature\_\_\_\_\_ Rank & Title\_\_\_\_\_ Date\_\_\_\_\_

**12. SUPERVISOR REVIEWING WITH EMPLOYEE**

☐ **EMPLOYEE'S 1.38 WAS REVIEWED AND IS CURRENT**

☐ **EMPLOYEE'S 1.41 COMPLETED IN PAST 6 MONTHS**

Signature\_\_\_\_\_ Rank & Title\_\_\_\_\_ Date\_\_\_\_\_

**13. EMPLOYEE'S COMMENTS** (Optional)

**14. EMPLOYEE'S SIGNATURE.** This signature does not necessarily indicate agreement with this report. I have received a copy of this report.

Signature\_\_\_\_\_ Rank & Title\_\_\_\_\_ Date\_\_\_\_\_

## PERFORMANCE EVALUATION REPORT GUIDELINES FOR RATING LIEUTENANTS AND BELOW

The intent of the performance evaluation system is to create and enhance a work environment where employees are evaluated on the demonstration of their knowledge, skills and abilities as they relate to the employee's assignment during a specified period of time. The performance evaluation system is, therefore, a tool used for coaching and development, and not for discipline. Since performance evaluations are considered in the promotional process, supervisors must provide thoughtful and specific comments in the narrative. **Be specific and confine the evaluation remarks to the space provided.** Supervisors shall maintain records throughout the rating period for their subordinates to accurately rate their performance factors when evaluations are due. For example, entries can be placed on a comment sheet, which then becomes the basis for the evaluation.

Employees are to be evaluated in the following class groupings during the indicated months:

| Class          | Period Ends on The Last Day Of | Reports Completed During |
|----------------|--------------------------------|--------------------------|
| Police Officer | August                         | September                |
| Sergeant       | December                       | January                  |
| Detective      | October                        | November                 |
| Lieutenant     | September                      | October                  |

While each group is evaluated during the specific time indicated, it must be remembered that in evaluating each employee, the supervisor is to consider the employee's performance in relation only to others in the same class and paygrade.

Evaluations for each employee group are to be completed during the specified time, and all concerned supervisors shall coordinate the final evaluations in a group effort. This procedure is designed to preclude a single supervisor from assigning an undeservedly high or low overall evaluation to an employee who may have worked for that supervisor only a small part of the evaluation period.

### COMPLETION GUIDELINES

Supervisors completing the Performance Evaluation Report – Lieutenants and Below, Form 1.78.0, shall first indicate the type of evaluation being prepared: annual, probation/promotion, transfer, special, or separation.

#### **Type of Rating** (Mark the appropriate box)

|                     |  |
|---------------------|--|
| Annual              | To be completed for each employee on an annual basis during the designated period.   |
| Probation/Promotion | To be completed monthly during the promotional probationary period. (Note: On the <u>final</u> probationary rating, be sure to mark "Yes" or "No" for permanent status.)   |
| Transfer            | To be completed for an employee just prior to the employee's transfer to another division, Area, or bureau <b><u>when no Performance Evaluation has been completed within 90 days prior to the transfer.</u></b>   |
| Special             | To be completed for each employee who was assigned to any function other than his/her normal duties for any period of time exceeding 90 days (e.g., loans to vice, narcotics, etc.) or at any time the employee's performance or standard of service indicates the need for the revised evaluation, or whenever a probationary employee fulfilled a function or primary duty other than patrol or traffic. |
| Separation          | To be completed for an employee upon retirement, resignation, or termination, when such separation occurs more than 90 days after the last annual performance evaluation.  |

## Check-box Evaluation Sections 1 and 2

This section is provided to assist the supervisor in measuring the employee's performance based on uniform standards related to duty requirements and peer group comparisons.

Each of the following sub-factors may be rated as:

Strong ☐

Competent ☐

Needs Improvement ☐

Not Observed ☐ INITIATIVE

After evaluating the employee's performance relating to each of the sub-factors, the supervisor must then compare the performance of the specific employee to that of other known employees of equal rank and in similar assignments within the unit, section, or division, and make an overall evaluation of "Unsatisfactory Performance," or "Proficient Performance," for each of the two major categories, i.e., "Duty Performance" and "Leadership Capabilities."

**Proficient Performance** means that in this aspect of the employee's work, the employee meets the requirements of the position or assignment, and is in fact fully competent in performing assigned duties.

**Unsatisfactory Performance** means that in this aspect of the employee's work, the employee fails to meet the minimum requirements of the position or assignment. This evaluation must be specifically justified in Section 4 (Narrative Evaluation).

### SECTION 1 - DUTY PERFORMANCE

In each of the below sub-factors, the evaluator is given a general description of the work aspect to be measured. Basic summaries of the various performance characteristics giving rise to strong, competent or weak ("Needs Improvement") evaluations are given as a guide to the evaluator in determining the appropriate category for the employee.

- **Demonstrates Integrity** – Upholds the ideals and principles of law enforcement, and the Department, such as protecting civil rights and reporting employee misconduct. **Does the employee respect the rights of individuals to be free from invidious discrimination, harassment, unlawful detention and arrest, unreasonable searches and seizures, and excessive force?** Does the employee respect the rights of due process, equal protection of the laws, and other civil liberties, including fundamental constitutional guarantees, such as the privilege against self-incrimination, the right to counsel, rights of privacy, and the freedoms of expression, association, and religion for all individuals?
- **Responsiveness to Instruction** - Reaction to information, direction and training. Does the employee follow instructions? Does he/she adhere to verbal and written orders and policies?
- **Judgment and Common Sense** - Sound, practical judgment that is independent of specialized knowledge or training; ordinary good sense; ability to think clearly and arrive at logical conclusions. Does the employee carefully and correctly consider a course of action before embarking upon it?
- **Quality of Public Contacts** - **Quality of relationships with citizens and community groups and organizations contacted in the course of the employee's official duties, including in particular, the employee's contacts as part of the practice of community policing.** Does the employee project an image of impartiality and fairness in his/her contacts with the public? Is the employee respected in the area of his/her assignment? All of these factors combined create what is considered "professional conduct." Is the employee "professional" while in contact with the public? Does the employee exhibit concern, empathy and compassion for the community that is being served, consistent with Department community policing policies and goals? Does he/she endeavor to minimize the risk of misunderstanding during citizen contacts? Does the employee's performance generate positive feelings toward the police in the community? Does the employee develop and encourage positive support for community relations? Does the officer show respect for diverse cultural aspects of the community? Does the employee show consideration for individual differences (e.g., language, age, intelligence)?

- **Physical Fitness** - The state of an employee's general physical condition as evidenced by factors such as physical appearance; e.g., obesity, etc., and participation in Department-approved program of physical activity to improve or maintain a desired level of fitness. While the final evaluation cannot be based on just one of these factors, a "Strong" or "Needs Improvement" evaluation must be based on a reasonable combination of such factors.

☐

The employee is in excellent physical condition and capable of responding and rising to any physical challenge or task.

☐

The employee maintains average physical fitness and can respond to most physical challenges successfully.

☐

The employee makes little or no effort to maintain good physical fitness and possesses physical capacities below those required by the Department.

- **Use of Available Resources** – Imaginative, effective and economical use of all reasonable measures and approaches likely to assist in solving a problem at hand; employs community resources, automated systems, tactical plans, analytical data, specialized expertise, deployment adjustments, air support, etc., when appropriate. Is the employee aware of all the resources available and potentially available including other City departments (e.g., Department of Building and Safety, Housing Department, Animal Regulation Services Department, etc.)? Does the employee utilize them to increase productivity and effectiveness?
- **Thoroughness** – Covering every pertinent facet of some activity; completeness, marked by close attention to accuracy and detail. Is the employee thorough in the completion of assigned duties, i.e., field investigations, required follow-ups and report writing?
- **Performance Under Stress** - Reaction to stressful situations; how the employee reacts in emergencies, deteriorating field situations or when under extreme emotional verbal attacks from hostile citizens or suspects. Is the employee willing to take command and responsibility for control of field situations? Is the employee capable of coordinating activities of others during stressful situations? Is the employee able to remain calm and exercise responsible judgment under these conditions?
- **Reliability** - The state or quality of being dependable; trustworthy. Can the employee be relied upon to perform assigned duties, using proper procedures, and with the Department's and public's interest as the primary concern?
- **Safety Skills** - Knowledge of officer safety techniques. Does the employee utilize defensive driving techniques, authorized patrol tactics, and does the employee apply safety procedures in both routine and emergency activities?
- **Initiative** - Readiness and ability to originate new ideas and methods to resolve problem situations which are out of the ordinary. Does the employee initiate activity, based on observations of incidents or events that might not require response, but, which might lead to apprehension of suspects, recovery of property or solution of a management problem?
- **Work Quality** - The degree of excellence in the performance of one's duties. Does the employee produce the desired results, consistently submitting clear, concise and timely reports?
- **Productivity** - Refers to an employee's accomplishments in meeting work objectives. This can include meeting due dates, reducing crime, improving filing or conviction rates or improving traffic conditions. The ability to attain organizational goals, and to achieve the objectives of the assignment. Does the employee understand the goal(s) established for those in the employee's assignment? Does the employee work successfully towards achievement of those goals?
- **Communication Skills** - The ability to communicate effectively in both written and verbal modes. (In considering communication skills, the evaluator considers spelling, grammar, punctuation, etc., in writing skills and the basic public speaking skills in verbal communications.) Does the employee articulate facts



and circumstances in clear and concise words, both in dealings with the public and with other members of the Department? How well does the employee communicate in both verbal and written mediums?

- **Teamwork** – Working in a cooperative effort with other employees; striving to coordinate work activities with others to attain common goals. Is the employee well thought of and respected by those with whom he/she works? Does the employee place attainment of Department objectives above personal interest, working willingly with others in a harmonious effort to attain them?
- **Ability to Organize** – To be capable of formulating a unified plan or course of action to achieve a specific result. Is the employee capable of coordinating the efforts of other employees at the scene of a complex incident requiring unified action?
- **Care and Use of Department Equipment** – Safe and proper use and maintenance of Department equipment and facilities. Does the employee treat Department property with care, ensuring against loss or damage by an awareness of and compliance with Department policies regarding City property?
- **Dress and Grooming** – Conformance with Department uniform inspection standards, courtroom attire, hair standards, etc. Do the employee's personal grooming habits reflect favorably upon the Department?

## **SECTION 2A - LEADERSHIP CAPABILITIES (All Employees)**

- **Acceptance of Responsibility** – Willingness to assume additional duties and obligations. Is the employee willing to accept responsibility for the success or failure of a Department program?
- **Demonstration of Command Presence** – The ability to take control of a situation by the use of voice and body commands; exhibits confidence when making decisions; acts as a stabilizing influence while maintaining a positive bearing when handling any given situations. Do others follow this employee's directions and commands? Are the employee's authority and ability to direct recognized and respected by subordinates, peers, and supervisors?
- **Contacts with Subordinates** – Effectiveness in dealing with employees of lower rank, position and authority. Does this employee deal with subordinates sufficiently, fairly, and equally, or is the employee weak, or overly exertive, or partial with these contacts? Do subordinates respect this employee because of leadership ability, and do they seek advice from the employee when confronted with problems?
- **Adaptability** – The ability to accept change without difficulty or resistance; capable of mastering obstacles encountered in implementing new procedures or techniques. How readily does the employee adapt to changed circumstances? How readily does the employee focus on the development of new techniques to facilitate completion of assigned tasks rather than resisting the changes themselves?
- **Effect on Morale** – To instill in others a moral or mental attitude necessary for courage, discipline, confidence, enthusiasm or a willingness to endure hardship to achieve the Department mission. Does the employee set a personal example which instills high morale in fellow employees? Does the employee inspire subordinates and peers to achieve their very best?
- **Planning Skills** – The ability to formulate a plan of action, including consultation with community partners, or procedure and to do so with careful consideration for the possible effects of that plan, including effects on the community being served. Does the employee plan activities or just begin operating in a field situation without a specific plan or course of action? When the employee is not committed to a primary task by specific assignment, does the employee direct his/her activities toward the attainment of pre-determined goals? Does the employee achieve results and solutions based on effective planning? Does the employee follow accepted procedures in preplanning for expected events and coordinate plans with other involved units?

## SECTION 2B – LEADERSHIP CAPABILITIES (Supervisory Employees Only)

- **Set Example of Police Integrity – Understands, illustrates, and encourages others to uphold the principles and ideals of the profession, the Department, civil rights integrity, and professionalism of the Department as a whole, by example and action.**
- **Effectively Delegates** – Uses the principle of delegation effectively to train and develop subordinates. Does the employee make proper and effective use of the principle of delegation, both in field situations and in management responsibilities? Does the employee properly control and follow-up on delegated responsibilities? Do subordinates show improvement in their performance as a result of proper delegation and follow-up?
- **Training of Subordinates** – Influencing subordinates in positive ways. Recognition of training deficiencies and instituting proper and effective remedial measures to overcome them. Sharing experiences and training with others to improve their value to the Department. Does the employee recognize training needs and actively works to fill them? Does the employee seek ways to improve production through training methods?
- **Evaluation of Subordinates – Effective use of Department evaluation procedures and systems to improve the performance of employees and/or potentially address at-risk behavior of employees under the command or supervision of the employee being evaluated.** Does this employee use the performance evaluation report and procedures as positive management tools to bring about desired changes in the work habits of his/her subordinates? Does the employee carefully consider the interests of the Department and the subordinate when completing the performance evaluation report? Does the employee understand and fairly apply the standards contained in the performance evaluation guidelines when evaluating subordinates? Does this employee review TEAMS reports of transferred employees? Does this employee appropriately consider sustained personnel complaint history as required for assignment of employees to specialized positions? Does this employee utilize TEAMS, other Department systems, and/or field presence to evaluate employees on an on-going real-time basis?
- **Effective Administrative Investigations – Completes administrative investigations (Non-Categorical use of force, complaints, traffic collision, vehicle pursuit investigation/reviews) in a thorough and complete manner, in compliance with Department procedures (including within established time frames), and recommends and implements appropriate disciplinary/non-disciplinary action in response to such investigations.**
- **Effective Supervisory Oversight – Effectively and actively reviews subordinates' work product (e.g., arrest reports, search warrants, confidential informant files, investigations, citations, etc.); provides appropriate direction regarding work product;** maintains a presence necessary to oversee, manage, and evaluate the effectiveness of subordinates and adherence to Department policies and procedures; is present when supervision is required (present at search warrant execution, response to Categorical use of force incidents, etc.); illustrates good judgment in responding to incidents that may escalate into uses of force incidents. Does the employee appropriately respond to and review Categorical use of force and Non-Categorical use of force incidents? Does the employee appropriately review arrest, booking and charging decisions of subordinates? Does the employee adequately review arrest warrants and affidavits?
- **Fosters a Positive Work Environment – Understands the obligation and importance of maintaining a positive work environment; prevents retaliation, discrimination, intimidation, coercion and harassment;** encourages discussion and resolution of subjects of concern to and between employees; is sensitive to and addresses workplace conflicts in a timely manner and demonstrates conflict resolution skills.

## SECTION 3 – EVALUATION OF SPECIALIZED SKILLS RELATED TO ASSIGNMENT

In this section, the supervisor is required to address the employee's training record. The supervisor must document all the required training and update training that is required of the evaluated employee for that particular assignment (e.g.,

Field Training Officer, Vice, etc.). In addition, the supervisor must evaluate the employee's application of the specialized training received.

#### **SECTION 4 – NARRATIVE EVALUATION**

This section is the most important part of an employee evaluation. As a supervisor one can best identify the employee's strengths and weaknesses when not limited to check-box categories which may not adequately cover these strengths and weaknesses. Use this space to articulate why the employee was evaluated with a ( - ) Needs improvement or ( + ) strong in any of the sub-factors listed in Sections 1 and 2. This section can be used to identify the exceptional employee and identify factors that make him/her above "proficient."

Tell the employee what is necessary to improve the evaluation in these categories for future performance evaluations. Here, the supervisor is not restricted to mechanical descriptions, but can make an evaluation that is truly relevant to just the employee being considered. **The lower portion of this section (i.e., "How can this employee best improve his/her performance?") must be completed. Although there may be no area of deficiency, even the most competent and productive officer can improve.** The rater is required to identify an area where increased attention would result in a higher level of performance.

##### **What to Include in the Narrative:**

- Describe significant accomplishments outside of the normal duties of the employee. Identify specific failings or particular observations of substandard performance. Advise the employee of weaknesses that should be remedied.
- Document any facts which support an overall evaluation of "Unsatisfactory Performance" in Section 1 or Section 2.
- Suggest methods for improving duty performance or acquiring needed skills.
- Describe any interviews with the employee wherein the employee's duty performance or leadership capabilities were discussed, and the results of such interviews.
- List any performance and professional goals established by the employee and include a statement of the employee's commitment and any substantive achievements.

Any time an employee has been evaluated as "Proficient" in either Sections 1 or 2, and is evaluated as "Unsatisfactory" in Section 5, a narrative explanation for this difference must appear in Section 4.

**EXAMPLE:** "This employee performs the duties of a certain assignment in a "Proficient" manner but is unable or unwilling to apply himself equally well in other assignments."

##### **What to Avoid in the Narrative:**

- Personality labels.
- Hearsay information or rumors (All comments shall be based on personal observations).
- Complicated terminology.
- References to, or consideration of, statements made or incidents described on prior evaluation reports.

#### **SECTION 5 – OVERALL VALUE OF THIS EMPLOYEE**

In this section, the supervisor is required to assign an "overall value" of either "Proficient" or "Unsatisfactory" to the individual being evaluated.

In making the determination of the employee's overall value, the supervisor shall consider the following factors: **First**, the employee's value in the present assignment as determined by the level of proficiency attained in the performance

of the employee's duties as described in Sections 1, 2,3 and 4 above. **Second**, considering the general needs of the Department, and all positions filled by employees of equal rank, compare this employee's capabilities and characteristics to all other employees in that rank as known to the evaluator.

- **Unsatisfactory Employee** – An “Unsatisfactory” overall evaluation must be fully supported in both the check-box and narrative portions of the performance evaluation of any employee.

To justify such evaluation, it must be clearly established that the employee has failed to meet the minimum requirements of the position. Specific areas of failure must be described in relationship to identifiable standard requirements of the employee's assigned duties. Warnings given to the employee in the past regarding substandard performance shall be documented in detail along with the specifics of training or remedial counseling provided the employee to assist in improving performance. Documentation of these facts must include dates, times, places and names of those who participated in verbal or written reprimands, notification of sub-standard performance, notice to correct deficiencies, or remedial training or counseling.

Whenever an employee receives an overall evaluation of “Unsatisfactory,” the employee's commanding officer shall consider the factors resulting in such evaluation and determine whether the circumstances merit a recommendation for non-certification to withhold or remove merit pay. If such recommendation is appropriate, the commanding officer shall indicate this by placing an “X” in the box provided directly below the “Unsatisfactory” evaluation box in this section.

- **Proficient Employee** – This evaluation means that the employee has the necessary experience, expertise and qualification for the position, and that he/she is fully performing the duties of such position without material deviation from the regulating policies and procedures. The employee has the necessary skills and knowledge to perform assigned tasks and applies them to the best of his/her ability.

#### **SECTION 6 – Indicate the number of incidents and sustained complaints that occurred within the evaluation period.**

Only those incidents and sustained complaints that occurred within the evaluation period should be indicated. A complaint relative to events that occurred during the period that has not been adjudicated should act to delay processing the Evaluation Report until the matter is resolved. An exception to this general rule would be when the concerned commanding officer reasonably expects the complaint will be “exonerated” or “unfounded” and the employee is then involved in promotional competition. Under this circumstance the commanding officer may complete the performance evaluation without recording the complaint in this section.

**NOTE:** This does not preclude the evaluator from commenting on poor judgment not amounting to misconduct that may have precipitated the complaint.

#### **SECTION 7 – SELF-EXPLANATORY**

#### **SECTION 8 – EVALUATING SUPERVISOR**

Sections 1 through 7 shall be initially completed by the employee's immediate supervisor who is the Evaluating Supervisor. The evaluated employee shall participate in an interview with this supervisor or, if necessary, a supervisor delegated by the Evaluating Supervisor, to discuss the evaluation.

#### **SECTION 9 – GROUP EVALUATING SUPERVISORS**

During the coordinated “final evaluation” group session by unit, section or division supervisors, those who supervised the employee during the evaluation period are to provide input as to the employee's performance and value and sign the evaluation report in this section.

#### **SECTION 10– REVIEWING SUPERVISOR**

The reviewing supervisor is generally the immediate supervisor of the employee who prepared the performance evaluation.

#### **SECTION 11– APPROVING COMMANDING OFFICER**

The approving commanding officer is the commanding officer of the employee being evaluated during the period of time for which the performance evaluation was prepared.

#### **SECTION 12 – SUPERVISOR REVIEWING THIS EVALUATION WITH THE EMPLOYEE**

This is the supervisor who presented the completed performance evaluation to the employee and discussed the contents of the report with the employee. This supervisor also reviews the Form 1.38 (Employee Record Form) with the employee, and after verifying the contents and updating the form if necessary, indicates in the check-box provided that this has been done. The reviewing supervisor also ensures that the uniform and equipment of those employees assigned to uniformed duty have been inspected in the past six months. The supervisor then indicates in the Individual Uniform and Equipment Division Inspection Record, Form 1.41, check-box that this has been done.

#### **SECTION 13 – EMPLOYEE’S COMMENTS – SELF EXPLANATORY**

#### **SECTION 14 – EMPLOYEE’S SIGNATURE – SELF-EXPLANATORY**